**Know your Client (KYC) Form**

Date: Click or tap to enter a date.

To: **ALPEX Member Support**

 Rruga Liman Kaba, Rezidenca Olympic,

 Shkalla 3, Kati 1, Zyra 1,

 Tiranë, Albania

 **E-mail**: trade@alpex.al

## **General Info**

|  |  |
| --- | --- |
| Company Name: Click or tap here to enter text.  |  |
| VAT: Click or tap here to enter text. |  |
| EIC Code: Click or tap here to enter text. |  |
| ACER Code: Click or tap here to enter text. |  |
| BIC Code: Click or tap here to enter text. |  |
| CEO: Click or tap here to enter text. |  |
| Tel: Click or tap here to enter text. | E-mail: **Click or tap here to enter text.** |
| Compliance Officer: Click or tap here to enter text. |  |
| Tel: Click or tap here to enter text. | E-mail: Click or tap here to enter text. |
| Head of Trading: Click or tap here to enter text. |  |
| Tel: Click or tap here to enter text. | E-mail: Click or tap here to enter text. |
| Head of Clearing: Click or tap here to enter text. |  |
| Tel: Click or tap here to enter text. | E-mail: Click or tap here to enter text. |

## **Regulatory Authorization and Licenses**

|  |  |
| --- | --- |
| Name of the Competent authority: Click or tap here to enter text. |  |
| Authorization/License number: Click or tap here to enter text.  |  |

## **Contact Information**

|  |  |
| --- | --- |
| Address: Click or tap here to enter text. |  |
| Post Code: Click or tap here to enter text. | City-Country: Click or tap here to enter text. |
|  |  |
| Tel: Click or tap here to enter text. | Fax: Click or tap here to enter text. |
| E-mail: Click or tap here to enter text. |  |

## **Company Profile**

|  |  |
| --- | --- |
| Main line of business of the Company: | Click or tap here to enter text. |
| Official Company Website: | Click or tap here to enter text. |
| Number of Employees: | Click or tap here to enter text. |

Please provide all shareholders names

|  |  |
| --- | --- |
| **Name of shareholder** | **Share (%)** |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |

|  |  |
| --- | --- |
| Is your company subsidiary (if yes please provide more information)  | Choose an item. |
| Parent Company’s Trade Name:  | Click or tap here to enter text. |
| Parent Company’s VAT:  | Click or tap here to enter text. |
| Parent Company’s Address (Country): | Click or tap here to enter text. |

|  |  |  |
| --- | --- | --- |
| Does your Company have a Branch  | Choose an item. |  |
| Company’s Branch Name: | Click or tap here to enter text. |  |
| Branch Company’s VAT: | Click or tap here to enter text. |  |
| Branch Company’s Address (Country): | Click or tap here to enter text. |  |

## **Company’s Capacities**

|  |  |
| --- | --- |
| ALPEX DAM Trading | [ ]  Producer[ ]  Supplier[ ]  Trader[ ]  Customer, holder of a personal consumer license[ ]  TSO[ ]  DSO[ ]  USS[ ]  RES |
| Balancing Market | [ ] Balancing Responsible Party[ ] Part of Balance Responsible Party Group |
| Membership to other Exchanges |[ ]
| (If yes, please state which) | Click or tap here to enter text. |

## **Technical Profile (for API users only)**

|  |  |
| --- | --- |
| ETSS API applied | Choose an item. |
| Protocol used | Choose an item. |
| Name of the Provider of the Application | Click or tap here to enter text. |
| Names of Data Feed Provider | Click or tap here to enter text. |

|  |
| --- |
| **QUESTIONS’ SECTION** |
| **SECTION A (Applicable to all Applicants)** |

1. **Key Financial Data (from annual audited financial statements)**

|  |  |
| --- | --- |
| Fiscal Year | Click or tap here to enter text. |
| Total Assets | Click or tap here to enter text. |
| Share Capital | Click or tap here to enter text. |
| Equity Capital | Click or tap here to enter text. |
| Total Liabilities | Click or tap here to enter text. |
| Turnover | Click or tap here to enter text. |
| Gross Profit | Click or tap here to enter text. |
| Net Profit (after tax) | Click or tap here to enter text. |
| Debt-to-Equity Ratio | Click or tap here to enter text. |
| Audit Firm | Click or tap here to enter text. |

**SECTION B (Applicable to all Applicants)**

|  |
| --- |
| 1. Describe briefly, how will your firm achieve the required organizational and operational and techno-economic infrastructure, as well as adequate and suitable control and security mechanisms for the electronic processing of data and internal control procedures, with respect to its participation in ALPEX Markets.

Click or tap here to enter text. |
| 1. Has your company, or any CEO/Managing Director undergone or has been convicted of any criminal offenses? If yes, please describe.

Click or tap here to enter text. |
| 1. Are there any activities of your company outsourced? If yes, please describe.

Click or tap here to enter text. |
| 1. Does your company have a Business Continuity Plan (BCP) in place?

Choose an item. |
| 1. Does your company have policies on the following?

[ ]  Know your Client[ ]  Anti-money laundering[ ]  Market abuse |
| 1. Does your company trade/clear OTC energy related products?

Please provide details.Click or tap here to enter text. |
| 1. What are the expected trading volumes for the following year in ALPEX?

DAM Click or tap here to enter text. (MWh) IDM Click or tap here to enter text. (MWh) |

The Company undertakes the obligation to inform the respective Applicants about the processing of their personal data, by handing to them the information of Appendix I.

For the Company, Click or tap here to enter text.

(Name of Legal Representative, Position, Signature)



 (Company Stamp)

**APPENDIX I**

**INFORMATION ON THE PROCESSING OF PERSONAL DATA FOR KYC PURPOSES**

**PROVISION OF INFORMATION TO DATA SUBJECTS**

ALPEX, in its capacity as data controller, in accordance with the provisions of the Albanian legislation on the protection of personal data, hereby provides information concerning the personal data processing of the Applicant’s key personnel (persons who are authorized to sign application forms regarding Exchange Membership issues, compliance officers, traders, clearers, IT responsible persons) (hereinafter “subjects”), key organizational data, key financial data and contact details, in the way described as below.

 **What kind of data do we collect?**

a) Identification data such as name and current position in the Applicant’s company

b) Contact details such as e-mail address and fixed and mobile telephone number

c) Percentage of share capital in client for shareholders

d) Key Financial Data

e) Key Organizational Data

**Where do we collect your data from?**

The aforementioned data are collected directly from the Applicant or the Applicant’s appointed subjects.

**Why do we collect your data and how do we process them?**

Personal data collected in the way described above, in accordance with the applicable legal and regulatory framework, are processed conducting “Know your Client” procedures by ALPEX.

The legal basis of the processing for this purpose is that the processing is necessary in the exercise of official authority and competences vested in ALPEX.

**Who are the data recipients?**

ALPEX employees who are responsible for ALPEX Members support, who have been duly informed about the secure processing of your personal data.

In addition, recipients of your data are physical and legal persons to whom ALPEX entrusts the performance of specific tasks on its behalf, such as, among others, system maintenance and technical support providers, software service providers, information security service providers (e.g., companies that provide the necessary IT platforms and technical support services). and any employee or agent of ALPEX.

Furthermore, the recipients of your personal data may be, on a case-by-case basis supervisory, auditing, independent, judicial, public and/or other authorities and bodies within the scope of their statutory responsibilities, duties and powers, when the transfer to them is required by law or provided for by law.

**For how long are the data retained?**

The personal data will be stored by ALPEX for the period of 5 years or for the fulfillment of their purpose, as well as for the necessary period of time required by the legal and/or regulatory authorities or for the time required for ALPEX to exercise its claims and defend its rights and legal interests.

**How can the subjects exercise their rights?**

In order to exercise their rights, the subjects may address ALPEX:

* In writing to: ALPEX Address:

Rruga Liman Kaba, Rezidenca Olympic, Shkalla 3, Kati 1, Zyra 1, Tiranë, Albania.

* Through email to ALPEX: trade@alpex.al

**How are the subjects’ rights protected?**

ALPEX protects them against accidental or unlawful destruction, loss, alteration, unauthorized disclosure or access and any other form of unlawful processing.